U.S. Department of Justice OMB No. 1121-0329

Office of Justice Programs

Bureau of Justice Statistics

The U.S. Department of Justice (DOJ), Office of Justice Programs (OJP), Bureau of Justice Statistics (BJS) is pleased to announce that it is seeking applications for the Deaths in Custody Reporting Program (DCRP) collection and analysis for fiscal years 2012 through 2015. The DCRP reports statistics on mortality of inmates in custody in state prisons and local jails. As the principal federal statistical agency in the Department, BJS is responsible for the collection, analysis, publication, and dissemination of statistical information on crime, criminal offenders, victims of crime, and the operations of criminal justice systems at all levels of government. This data collection program furthers the Department's mission by working in partnership with the justice community to identify the most pressing challenges confronting the justice system and to provide information in support of innovative strategies and approaches for dealing with these challenges.

Deaths in Custody Reporting Program, 2012-2015 Solicitation

Eligibility

Applicants are limited to for-profit (commercial) organizations, nonprofit organizations, faith-based and community organizations, institutions of higher learning, and consortia with demonstrated organization and community-based experience working with American Indian and Alaska Native communities, including tribal for-profit (commercial) and nonprofit organizations, tribal colleges and universities, and tribal consortia. However, consistent with OJP fiscal requirements, for-profit organizations are not allowed to make a profit as a result of this award or charge a management fee for the performance of this award.

Deadline

Registration with Grants.gov is required prior to application submission. (See "How to Apply," page 21.) All applications are due by 11:59 p.m. Eastern time on Thursday, May 12, 2011. (See "Deadlines: Registration and Application," page 3.)

Contact Information

For technical assistance with submitting the application, contact the Grants.gov Customer Support Hotline at 800-518-4726 or via e-mail to support@grants.gov.

Note: The Grants.gov Support Hotline hours of operation are 24 hours a day, 7 days a week, except federal holidays.

For assistance with programmatic or any other requirement of this solicitation, contact Margaret Noonan, BJS Statistician and Program Manager, at 202-307-0765 or by e-mail at askbjs@usdoj.gov. Include "dcrp1215" in the subject line.

Grants.gov number assigned to announcement: **2011-BJS-2939**

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- Information to Complete the Application for Federal Assistance, Standard Form (SF) 424
- Program Narrative
  - Plan for Collecting the Data Required for this Solicitation's Performance Measures
- Budget Detail Worksheet and Budget Narrative
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Deaths in Custody Reporting Program, 2012-2015 (CFDA #16.734)

Overview

The Bureau of Justice Statistics (BJS) seeks an agent to collect and analyze data for the Deaths in Custody Reporting Program (DCRP) for the four-year period from October 1, 2011, through September 30, 2015 (fiscal years 2012-2015). Broadly, the agent's responsibilities include data collection and analysis, managing all data collection activities efficiently and cost effectively, updating the national database of the DCRP to ensure accurate and timely data, and assisting BJS in enhancing and expanding the DCRP. BJS is authorized to issue this solicitation under 42 U.S.C. § 3732(c).

Deadlines: Registration and Application

Registration is required prior to submission. OJP strongly encourages registering with Grants.gov several weeks before the deadline for application submission. The deadline for applying for funding under this announcement is 11:59 p.m. Eastern time on Thursday, May 12, 2011. Please see the "How to Apply" section on page 21 for more details.

Eligibility

Please refer to the title page for eligibility under this program.

Project-Specific Information

BJS initiated the DCRP in 2000 in response to the enactment of the Death in Custody Reporting Act of 2000 (DICRA), Public Law 106-297. Since that time, BJS has maintained the collection, analysis, and dissemination of statistics on mortality of inmates in correctional facilities. Under the DCRP, BJS obtains an individual-level mortality record for each inmate who dies while in the physical custody of state prison or local jail facilities. BJS also obtains summary data from local jails to describe key jails characteristics that it uses to calculate and compare mortality rates among jails.

BJS has used data collected through the DCRP to produce several reports and display annual statistical tables on deaths in custody. The reports (available on the publications page of the BJS website) include—

- Mortality in Local Jails, 2000-2007 (July 2010, NCJ 222998)
  www.bjs.gov/index.cfm?ty=pbdetail&iid=2197

- Arrest-Related Deaths in the United States, 2003-2005 (October 2007, NCJ 219534)
  www.bjs.gov/index.cfm?ty=pbdetail&iid=379

- Medical Causes of Death in State Prisons, 2001-2004 (January 2007, NCJ 216340) www.bjs.gov/index.cfm?ty=pbdetail&iid=776

- Suicide and Homicide in State Prisons and Local Jails (August, 2005, NCJ 210036) www.bjs.gov/index.cfm?ty=pbdetail&iid=1126

The annually updated statistical tables can be found on the BJS Website at— www.bjs.gov/content/dcrp/dictabs.cfm.

BJS also uses the DCRP data to inform other statistical reports on issues related to correctional health care, such as its annual bulletins on HIV among prisoners.

BJS has collected DCRP data annually from each of the nation's 50 state prison systems and approximately 3,000 local jail jurisdictions. The death records include information on the deceased's personal characteristics (age, gender, and race/ethnicity), their criminal background (legal status, offense types, length of stay in custody), as well as details of the death itself (the date, time, location, and cause of each death, whether autopsies were performed, and the nature of medical treatment provided for illnesses/diseases).

Since 2000, the first year BJS collected DCRP data for deaths occurring in local jails, BJS has obtained the participation of almost all jail jurisdictions, including post-2006 when the DICRA expired. In each year since 2000, there have been about 1,000 deaths in local jails; annually about 80 percent of jails report no deaths.

BJS obtains data on each inmate death occurring in the custody of a jail via the CJ-9 and CJ-10 forms (available at: www.bjs.gov/content/pub/pdf/cj910.pdf; www.bjs.gov/content/pub/pdf/cj1010.pdf). At the end of each calendar year, jail administrators complete a summary form, the CJ-9A and CJ-10A forms (available at www.bjs.gov/content/pub/pdf/cj9a10.pdf; www.bjs.gov/content/pub/pdf/cj10a10.pdf), which BJS uses to request data on jail inmate populations. These forms are completed by all jails, even if the jail has zero deaths to report.

BJS has collected death information from the nation's 50 State Department of Corrections since 2001. Since its inception, BJS has obtained 100% participation by State departments of corrections in the State prisoner portion of the DCRP. Throughout the history of the State prison portion of the DCRP, approximately 3,200 death records are collected per year.

Offender death records from State Department of Corrections are obtained via the NPS-4A form, (which is available at: www.bjs.gov/content/pub/pdf/nps4a10.pdf). State prison officials submit an annual summary count of deaths (form NPS-4, available at: www.bjs.gov/content/pub/pdf/nps410.pdf). As BJS collects data on state prisoner population movements though other of its statistical programs, (notably, the National Prisoner Statistics and the National Corrections Reporting Program), BJS does not request summary population data on from State prisons.

Historically, BJS has collected data on deaths occurring in the process of arrest as part of the DCRP. However, deaths occurring during the process of arrest are no longer part of the DCRP and are collected under a separate BJS program.

Additional brief background materials on the DCRP can be found on the BJS Website at: www.bjs.gov/index.cfm?ty=tp&tid=19

Goals, Objectives, and Deliverables

The main goals for the project are to—

- Implement a cost-effective and efficient system for collecting and analyzing DCRP data in timely manner using methods that minimize respondent burden while also maximizing responses and high quality data elements (primarily) using a web-based collection system that allows respondents to report death-related information on an ongoing, real-time basis.
- Maintain the high participation rates by state Departments of Corrections and local jail administrators that have characterized the DCRP throughout its history. BJS has obtained 100% participation by state Departments of Corrections and roughly 99% participation by local jails throughout the country.
- Provide accurate, timely, and relevant statistics on and studies of mortality in correctional settings.
- Enhance and expand BJS collection of correctional mortality statistics.

As described in the scope of work, this specific project spans four years, beginning October 1, 2011, and ending September 30, 2015. As DCRP data are collected on a calendar year basis, this project's collection and analysis activities will be associated with at least five calendar years of mortality data collection (2011 through the start of 2015).

In this project, BJS intends to maintain this system of ongoing reporting by respondents, as through it BJS provides correctional administrators in prisons and jails with the opportunity to submit death data on the schedule that is most convenient for them. Specifically, data providers may submit death data as they receive data throughout the year or on annual basis at the end of the collection year. Data providers are asked to submit death records on inmates dying in their custody once they have a complete death record, with a final cause of death ruling as determined by an official death investigation (i.e. autopsy, or other official death inquiry).

While data collection for a specific year is initiated on the first of that year (January 1), data collection activities associated with a calendar year begin prior to the start of the year with the updating of information about respondents, updating the jail frame, and modifying data collection instruments as needed to reflect changes in items. It has been BJS' experience that it takes up to 18 months to complete a calendar year of data collection for the DCRP, and BJS expects that under normal conditions it will receive a final analytic dataset for a collection year by June of the following year. There are two main reasons why the collection period for a calendar year extends beyond the end of the calendar year:

- *Lag between death and final cause of death determination*. Information about cause of death, especially in cases involving investigations by medical examiners, can take some time to become known to the jail and prison administrators who provide the DCRP data to BJS. Hence, information from an autopsy report or other final determination of the cause of deaths occurring in December may not become available for three to six months after the death occurred. In any given year, BJS expects that about 5% of deaths fall into this category. In a very small fraction of cases, delays of up to 12 months

have occurred in obtaining official cause of death information.

- *Following up on apparent errors or inconsistencies in submitted data*. During any year, about 2% to 3% of respondents (approximately 60 to 90 agencies) require extensive follow-up (defined as requiring five or more contacts with the agency to complete data) to obtain complete and accurate data on key data elements, especially those related to cause of death, or to obtain consistent information within a death record. This extensive follow-up period can cross the end of the calendar year.

In addition, there is another category of late data submissions to be addressed in managing the DCRP. Occasionally, agency officials submit death records late or resubmit information about a previous record. These late record submissions or updates to previous records have occurred in a few extreme cases four to five years after an initial record was submitted. Generally, late submissions and updates occur within a year after the initial submission. Since 2000, about 40 deaths were subject to either an update or a late submission. To provide as accurate a record of deaths in custody, BJS allows respondents to submit records late and update previously submitted records. While these updates occur relatively infrequently and generally are initiated by respondents, they impose minor data collection costs. However, their major impact on the DCRP falls on database management tasks and updates to the statistical tables that BJS posts on its website. (See www.bjs.gov/index.cfm?ty=pbdetail&iid=2093 and www.bjs.gov/index.cfm?ty=pbdetail&iid=2092 where BJS posts its most accurate and up-to-date mortality statistics for the DCRP.) These tasks are described in the statement of work.

Starting with the 2010 collection year, BJS modified its online reporting system to allow respondents to update records from previous years' submissions, even if the previously submitted data had been finalized. Respondents are required to request access to update records or they can do so by contacting BJS or its data collection agent directly. The modification to the web-collection instrument to allow for late updates allows BJS to take a more comprehensive approach toward updating death records. BJS currently plans to retain these reporting practices in the collection years associated with this solicitation.

The roughly 18-month collection cycle means that a data collection agent must be able to manage and process at least two overlapping years of data collection at the same time. It is also possible that if delays or a high volume of late postings occur that result in major changes to a prior year's database, then the collection agent would have to manage three years of data during a year of the project.

The core data collection activities for the DCRP include initiating a collection year, conducting follow up activities to complete the data collection, completing data cleaning (although some edit checking and data cleaning activities will be built into the web-based collection tool, as described in the scope of work), maintaining and updating the DCRP databases with accurate and complete data, delivering data files that are suitable and ready for analysis, conducting data analysis tasks, including annually preparing a set of statistical tables from the DCRP data for release on the BJS website, and annually submitting materials to BJS needed to archive the DCRP data at the National Archive of Criminal Justice Data (NACJD).

The details of the project tasks appear in the scope of work.

Scope of Work

The work to be conducted during the project includes (1) managing the ongoing activities of the DCRP collection, which include initiating, conducting, and completing data collection activities on an annual basis; (2) maintaining a multi-mode data collection effort that is built around a web-based, online interface that also allows for submission of electronic data files (i.e., data extracts), as well as individual-level records; (3) maintaining and updating the national database of the state prison and local jail death records; (4) maintaining and updating a database of the universe of jail jurisdictions that also identifies jail facilities within jurisdiction and links jail reporting units within jail jurisdictions; (5) maintaining real-time tracking and reporting on the status of the collection and database updates; (6) annually providing BJS with standard analysis file datasets that include data on each death record and data on jail jurisdiction and jail facility population flows; (7) preparing updates to BJS annual statistical tables and conducting analysis of DCRP data as directed by BJS; (8) providing BJS with materials needed for archiving DCRP data as restricted access data as defined by the National Archive of Criminal Justice Data (NACJD); (9) presenting at conferences and engaging stakeholders; (10) maintaining an informative communications strategy to provide BJS with documentation, summary reports on the status of the collection, and a yearend project summary to BJS; (11) assisting BJS in obtaining clearance by the Office of Management of Budget (OMB) for the 2013-2015 and 2016-2018 collection years of the DCRP; and (12) assisting BJS in working with OMB to collect these data under the Confidential Information Protection and Statistical Efficiency Act (CIPSEA); and (13) planning for enhancement the DCRP by obtaining death certificates and exploring the collection of death records for offenders under community supervision.

Specifically, the recipient of funds will—

1) Manage the ongoing data collection activities of the DCRP. These include the following:

   Meet with BJS within two weeks of award, and within two weeks of that meeting, provide BJS with a draft of a detailed timetable for the first year of the project. The BJS project manager (PM) will review and comment on the timetable. After BJS comments are incorporated into the timetable, the collection will be expected to conduct project activities according to the agreed-upon timeframes.

   Starting with the second and continuing with the subsequent years of the project, BJS will meet with the collection agent late in the fall of each year prior to the start of a collection year to review detailed project plans for the upcoming year. It is the responsibility of the data collection agent to notify BJS of barriers or obstacles arising in the data collection process so that appropriate adjustments to the schedule can be made.

   Annually initiate, conduct, and complete data collection for deaths occurring during a calendar year; initiate a collection year at the start of the calendar year (January 1), and complete the previous collection year by June 30 of the same year. Initiating a collection year involves contacting nearly 3,000 jail-reporting officials and 50 state prison contacts about the DCRP. BJS will provide the data collection agent with contact information as needed, but the collection agent must responsibly update all contact information, ensuring that it is accurate and complete. (Table 1, which appears at the end of this scope of work, provides details on the time frames for conducting the collection activities.)

Manage and deliver all activities associated with contacting respondents, including routine mailings related to requesting data, follow-up contacts with nonrespondents, and follow-up contact to correct data errors in a cost-effective manner. During follow-up contact, as opportunities arise or as necessary, the collection agent is expected to identify respondents' capabilities and preferences for data submission and use this information to minimize respondent burden.

Revise, as needed, and provide to BJS for review in a timely manner, all DCRP collection forms for a calendar year of collection, ensuring that the forms are available in final format before January 1 of each calendar year. Respondents from state Department of Corrections report individual deaths via the NPS-4A form and an annual aggregated count via the NPS-4 form. Local jail administrators report deaths occurring in local jails via the CJ-9 form (CJ-10 form for private or multi-jurisdictional jails). Local jails report aggregate death counts and population data via the CJ-9A (CJ-10A form for private or multi-jurisdictional jails) at yearend. (See goals, objectives, and deliverables for more information about the forms.)

Collect complete and accurate data on deaths in custody in state prisons and local jails. The collection agent is to collect two forms of data on deaths in custody: (a) individual death records for each death occurring in the custody of a state Department of Correction's prisons (public or private) and occurring in the custody of local jails, and (b) complete and accurate summary information from state prisons and local jails.

2) Maintain a mixed-mode of data collection with a secure web-based reporting system as the primary mode and other modes—mail, fax, data extracts, etc.—provided as secondary modes. The current model web-collection instrument is available at www.bjsdcrp.rti.org/.

   The collection agent should implement procedures to have a fully functioning web-based system for data collection in place and operational prior to January 1, 2012.

   BJS uses the web-based interface to provide jail administrators and state prison authorities the tools necessary to participate in the DCRP. The web-based tool should be designed to have a user-friendly interface that minimizes burden on respondents, and has server-based edit procedures that also allow respondents to complete entry for a record before checking responses. Access to the site should require entry of a unique, agency-specific username and password. The web-based tool should be multi-functional, allowing real-time dissemination of project-specific information (i.e. providing answers to frequently asked questions and program-level information). The site should also allow each agency to monitor its status (e.g., respondents can track how many death record forms, including the annual summary form, have been submitted) while allowing agencies to review and print previous years' submissions. Finally, BJS should be able to use the website to monitor progress of data collection at agency, type of agency (e.g., jail or Department of Corrections), and national levels, including response rates and counts of deaths by agency.

   The collection agent's responsibility is to maintain responsiveness to data providers' needs in selecting the mode that suits their situation and to provide technical assistance to respondents as needed to encourage their use of the web-based reporting system. The collection agent is to review and assess the performance of the web-based reporting system on an ongoing basis and provide BJS with recommendations about improving it. Any such recommendations should focus on reducing respondent burden and come with estimates of the cost to implement the recommended changes.

The collection agent is to maintain the web-based mode in a manner that provides respondents with a secure option for submitting individual death records, with access to the site controlled by jurisdiction-specific login IDs and passwords.

For secondary modes of data submission, the collection agent should plan for and implement methods to accept data in a variety of formats and maintain the capacity to import electronic data extract files, datasets in various formats (e.g., ACCESS, Excel, SAS, ASCII text, etc.), and convert them into the common format used for the national database of death records. The agent is required to maintain paper versions of records submitted in that format for at least one year after the provision of a final data file to BJS.

The agent is required to implement procedures to ensure that all DCRP data are maintained securely and that all data security procedures comport with 28 CFR Part 22. At BJS' request, the agent will provide a copy of the data security procedures and copies of forms signed by staff indicating their compliance with 28 CFR Part 22.

All enhancements to the web system should be completed in a timely manner to allow for fielding each collection year of data at the start of the calendar year.

3) Maintain, update, and enhance the DCRP database. The DCRP database is an integrated database consisting of, at a minimum, the individual-level death records for each death in custody in prison or jails, jail summary data, and prison summary data.

   The collection agent should plan and implement procedures to update the DCRP database on an ongoing basis as data are received from respondents. The data for each individual death record should be maintained securely, as well as any individual identifying information such as names, inmate identification numbers, facility in which the death occurred. Other personally identifiable information (PII) that may be submitted. All PII must be maintained securely. BJS uses the PII for follow-up and for linking purposes.

   Individual death records should have the capabilities to be linked to data on the prison and local jail facilities where the deaths occurred. The link ID variables to be used for local jail records should be the Government ID (or GID) that was developed by the U.S. Census Bureau's Governments Division, and the FIPS or ANSI codes developed by the National Institute of Standards. The collection agent should ensure that each record of a death occurring in a local jail can be linked to jail jurisdiction- and jail facility-level data that are provided on the CJ-9A summary forms, and also to other BJS jail data, such as its Annual Survey of Jails and its Census of Jail Facilities. Each of these other BJS collections of jail-related data collections uses the GID to identify individual jail respondents and jail jurisdictions. BJS prefers the GID for uniquely identifying jail facilities and jail jurisdictions; BJS prefers the national geographic standard, such as FIPS and ANSI codes, for use in linking to other types of data, such as Census data on population characteristics. Both sets of ID codes must be maintained on the death records for jail deaths. As new jail facilities come online or as new jail jurisdictions emerge (such as new regional or multijurisdictional jails), the collection agent must take steps to assign each new facility or jurisdiction appropriate ID variables.

   The data collection agent is also expected to submit a data file that has assigned International Classification of Disease (ICD) codes to deaths due to illness as established by

the World Health Organization and the National Center for Health Statistics. These codes are to be assigned by a trained clinical nosologist.

As BJS allows respondents to update submissions to reflect new information about a death, especially if the cause of death has changed, and given the lengthy nature of some death investigations and the likelihood of future updates, the collection tools need to be designed to allow for this eventuality. Maintenance and updating of the DCRP database should incorporate procedures for accepting late entries of data (to correct or append errors or to submit new records), including entries for calendar years of data that have previously been submitted to BJS. The system for obtaining late entries may require respondents to request permission to submit late updates.

The collection agent must maintain all personally identifiable information in accordance with 28 CFR Part 22.

4) Annually update the jail jurisdiction universe database. The collection agent must update the jail jurisdiction universe database to ensure that it is complete and accurate. The jail universe database should be updated on an ongoing basis with new jail jurisdiction data provided by DCRP respondents (including respondent contact information). The database should also be updated regularly with data about jail closings and new jail openings, ensuring that jail facilities are aggregated into the appropriate jail jurisdiction and that information is unduplicated. The jail universe is defined as all currently operating jails plus jails that have been contacted for the DCRP but have closed, consolidated, or otherwise eliminated operations. The jail jurisdiction file should have a record for each jail jurisdiction, jail facility, and jail reporting-unit that has participated in the DCRP, and the database should be able to provide *in real time*, a roster of currently active jail facilities, jurisdictions, and reporting units.

   The universe file should contain at minimum up-to-date contact information—including the names and contact information of sheriffs, administrators, wardens, and jail identification information such as the GID or FIPS codes—names of facilities within the jurisdiction, and current status of the jurisdiction. The file should also contain information that can be used to track changes in status of jails to identify closures, consolidations, and other major changes in jurisdiction status; if a jail closes, identify the jurisdiction that took over responsibility for its inmates; and enable these types of status change relationship in the database.

   Annually, the collection agent should be able to provide BJS with an extract of the jail jurisdiction data file that contains all of the data included in it by December 1 of the year.

5) Maintain a system for tracking the status of the data collection in real time, providing BJS access and capacity to view individual records by collection year. Status variables to maintain include date of submission, mode of submission, presence of missing items, and date on which submitted data were entered into the national database.

6) Implement cost-effective procedures of data editing and error checking, and annually provide BJS with a report on data editing and data quality as it relates to producing mortality statistics from the DCRP database. Provide BJS with recommendations about data editing, minimizing item non-response on critical items, and error checking procedures that reflect a balanced assessment of the tradeoffs between costs associated with this process and the error profile of the data.

7) Provide analytic support to BJS in the production of annual statistical data tables on prison and jail deaths and mortality rates to be published on the BJS website under the page dedicated to DCRP statistics at www.bjs.gov/index.cfm?ty=dcdetail&iid=243. Provide BJS with final versions of statistical tables in a format for posting to the BJS website. Plan and implement plans to ensure delivery of statistical tables for the following years by the dates specified:

- 2011 mortality statistics: Final tables due August 2012
- 2012 mortality statistics: Final tables due August 2013
- 2013 mortality statistics: Final tables due August 2014
- 2014 mortality statistics: Final tables due August 2015

Plans should include time for delivering draft tables for BJS review and revisions, as needed.

The data collection agent should review and assess the process for generating the statistical tables and delivering them to BJS with an eye towards streamlining the process collection. The agency should work with BJS to develop a system for an online query tool that can be used to generate tables from the most complete, accurate, and up-to-date database. Such an approach would move the process for creating and releasing the statistical tables from one in which static tables are generated and posted on the BJS website to one in which the statistics are query- and database driven. This latter approach will facilitate updates to tables that occur when late records are posted, errors are corrected after tables have been released, or other legitimate changes are made to the DCRP database. The collection agent should plan to meet with BJS information technology staff early in the project period to discuss the parameters for making the shift from the static table model to the dynamic, database-driven model. It is BJS's goal to deliver the statistical tables dynamically no later than by the release of the 2012 mortality statistics.

In addition to analytic support related to the production of statistical tables, the collection agent should propose topics for more in-depth analyses of mortality in prisons and jails based on the DCRP data, other BJS data, and other federal statistical agency data. To this end, the data collection agent will be required to develop and submit proposals and outlines for at least two special topic reports on mortality in correctional settings during the first year of the project. The proposals should be based on the DCRP data and should address issues in mortality in corrections that BJS has not yet addressed. BJS will review the proposed topics, and (pending funding) work on one of them will begin during the second year of the project. The selected project will be done collaboratively between BJS and the data collection agent with the aim of issuing a BJS special topic report during the second project year. Based on the quality of the work on the first report (and available funding), BJS will ask the collection agent to proceed with work on a second special topic report during the third year of the project.

Finally, from time-to-time, BJS may request the collection agent to conduct some type of short-turnaround, basic descriptive analysis of DCRP data. These analyses typically involve computing crude mortality rates and distributions of causes of death by selected variables. They generally require no more than 8 to 12 hours of analysis time. The collection agent

should plan to conduct up to five of these per year. If BJS does not request these short-term analytic tasks, the effort planned for them will be devoted to the special topic reports.

8) Provide BJS with DCRP data and documentation (e.g., codebooks, data definition statements, data processing notes, etc.) for archiving the DCRP at the National Archive of Criminal Justice Data (NACJD). BJS intends to archive the data under the NACJD restricted use access policy. The collection agent will be required to work with BJS and NACJD staff to determine the final requirements for the data to be archived. However, for planning purposes, the data collection agent should review the NACJD data submission guidelines to determine the level of effort involved in archiving data at NACJD. The NACJD staff will be responsible for formatting DCRP data for archiving.

   Data files and documentation for archiving should be delivered to BJS according to the following schedule:

   - Collection year 2011 data and documentation: September 2012
   - Collection year 2012 data and documentation: September 2013
   - Collection year 2013 data and documentation: September 2014
   - Collection year 2014 data and documentation: September 2015

9) Present about the DCRP at conferences. The collection agent should plan to attend at least one corrections association conference per year with BJS staff to present findings from the DCRP, engage stakeholders in improving and enhancing the collection, or achieve other DCRP goals, such as marketing the collection to key stakeholders. BJS regularly attends the meetings of the American Jail Association (AJA) and the American Correctional Association (ACA). BJS staff also present at conferences sponsored by academic correctional healthcare researchers, and the DCRP statistics figure prominently in BJS presentations. At these meetings, BJS presents findings from the DCRP, holds meetings with stakeholders, and undertakes efforts to engage stakeholders in the program. BJS seeks the support of the collection agent in these activities. For example, at the AJA, BJS organizes a panel and conducts focus group meetings with stakeholders for the purposes of reviewing and improving its data collections.

   The collection agent will work with BJS to define its role in presenting and representing the DCRP at professional association and research conferences. Roles could include presentation of findings, presentations related to providing technical assistance to improve responses, or leading meetings of stakeholders to obtain feedback on the direction of the DCRP. BJS uses association conferences to conduct these meetings as a cost-effective way to obtain input and feedback. However, organizing these meetings presents challenges as attendees are busy and in demand. Hence, while conducting stakeholder meetings at conferences is a viable method of obtaining feedback, such meetings have to be short (about an hour to 90 minutes) by necessity and may not cover all topics. Depending upon what is learned from stakeholder meetings at association conferences, the collection agent may propose as a recommended task (see task 11) a proposed meeting of stakeholders to fully engage them in the DCRP.

   For planning purposes, the collection agent should plan to attend the AJA conference during the first year of the project (around April of 2012) at which collection agent staff will present material from the DCRP and attend a focus group that BJS organizes. Based on feedback

obtained at that meeting, BJS will determine whether to hold a larger meeting between BJS and its DCRP respondents and other key stakeholders. For subsequent project years, the collection agent should propose presentation topics and venues to the BJS PM at the start of a project year. The proposed presentations should complement BJS's efforts. BJS will decide upon the topics and venues for presentations.

10) Implement an effective communications strategy. The collection agent is responsible for proposing to BJS an effective strategy for communicating about the status of the DCRP project. The agent should implement a schedule for maintaining routine management meetings and management communications with the BJS project monitor. Communications may be via phone, in-person, email, web, or other mode.

    The collection agent should plan for at least two face-to-face meetings per year of the key project staff with BJS. These may be held either at BJS or at the collection agent's offices, as determined by BJS. One of these meetings should be prior to the start of a project year to review plans for the upcoming year. The timing and content of the other meeting is to be determined based on project needs and may vary from project year to project year. For example, given BJS's priority to improve dissemination of statistical tables (see task 8), during the first project year, the second meeting may be between collection agent staff and BJS information technology staff to determine the requirements for providing BJS with data for an online query tool to deliver DCRP data. Contractors not located in the DC area should plan for travel for two meetings per year to BJS. Each trip should be planned for an entire day; depending upon the collection agent's location, travel plans may include one night's stay in order to accommodate a day-long meeting.

    The collection agent is to provide monthly progress reports that summarize the status of the project, whether goals for the month were met, problems encountered that led to delays or departures from planned goals, assessment of the impact of problems encountered on the time frames for a Reference Year (RY) collection cycle, and costs-to-complete a RY cycle.

    The BJS PM will maintain a record of the monthly progress reports in GMS. The grantee will have access to GMS in accordance to OJP requirements. Required financial and progress reports shall be submitted through the Grants Management System in accordance with the OJP Financial Guide.

    Formal meetings between the PM and the Recipient will be scheduled as needed. Such meetings shall take place at a location mutually acceptable to both parties. Conference calls between BJS project principals and the Recipient's Project Director shall be held at least once per month. The Recipient shall submit progress reports to the PM every month including (1) all activities performed during the month; (2) problems encountered during the month and proposed or enacted solutions, (3) current status of the data collections, (4) a brief discussion of the expenditure of funds, (5) a statement as to whether problems encountered will affect the planned time frames for completion of the data collection as specified in the delivery schedule, and (6) the status of the project relative to the remaining budgeted amount. The BJS PM will maintain a record of the monthly progress reports in GMS. The grantee will have access to GMS in accordance to OJP requirements. Required financial and progress reports shall be submitted through the Grants Management System in accordance with the OJP Financial Guide.

Annually, the collection agent will provide BJS a set of recommendations to enhance and expand the DCRP. These recommendations should be based on the agent's experience with the DCRP and should represent cost-effective and achievable enhancements. The enhancements can cover any aspect of the project, from data collection modes and methods, enhancements to existing items, alternative modes for collecting data, expanding the scope (e.g., to collect death records from other correctional agencies such as probation and parole), or special collections that address substantive issues related to mortality in correctional settings. BJS will review the proposed recommendations and decide which to implement.

11) Assist BJS in preparing the Office of Management and Budget (OMB) clearances for the 2013 to 2015 and the 2016 to 2018 DCRP collection cycles. The current OMB clearance for the DCRP collection runs through December 31, 2012. To obtain clearance for the three-year cycle beginning 2013 and running through 2015, BJS intends to obtain OMB clearance for this cycle by November 2012. This will allow the collection agent time to revise forms, as necessary, in order to meet the time frame for initiating the 2013 collection on January 1, 2013. The following schedule provides the dates that BJS intends to post materials to OMB for obtaining clearance for the 2013-15 collection cycle by November 2012:

- 60-day notice: Posting by April 1, 2012
- 30-day notice: Posting by June 1, 2012
- Supporting statement: Posting by June 1, 2012

The collection agent should refer to the materials from the current clearance to prepare materials for the 2013 through 2015 cycle. The OMB materials can be found at www.reginfo.gov/public/do/PRAViewDocument?ref_nbr=201009-1121-001. Work on this cycle is to be done during project year 2012. The collection agent is responsible for providing materials in time for BJS review and revision as necessary so that the posting dates are met.

The collection agent should plan to confer with BJS about the OMB materials and to prepare complete drafts of each set of materials, allowing two weeks for BJS review and comment.

For the second cycle, running from 2016 to 2018, the collection agent will again assist BJS in preparing the same set of materials. Work on the second OMB cycle is to be done during project year 2015. Again, BJS's objective is to obtain clearance for the 2016-18 collection cycle by November 2015, providing the collection agent with sufficient time to modify forms to meet the January 1, 2016, collection initiation date.

The tentative due dates for these OMB clearance materials for the 2016-18 collection cycle are as follows:

- 60-day notice: Posting on April 1, 2015
- 30-day notice: Posting on June 1, 2015
- Supporting statement: Posting on June 1, 2015

12) Assist BJS in working with OMB to collect these data under the Confidential Information Protection and Statistical Efficiency Act (CIPSEA). The recipient of funds is expected to perform all necessary functions as liaison between BJS and OMB to bring the DCRP under

the legal purview of the CIPSEA, which will ensure the confidentiality of all data collected, and ensure that no DCRP data will be released by BJS to any party for any nonstatistical purpose.

13) Enhance BJS collection of mortality statistics. BJS seeks to enhance its collection of correctional mortality statistics while retaining the DCRP as a core component of the collection. Various opportunities exist to enhance the collection. During the first project year, the collection agent will be responsible for reviewing two options, developing plans for assessing the feasibility of these enhancements, and providing BJS with proposals for work to design and test the enhancements, including costs associated with designing and testing the enhancements. Based upon the quality of the effort, costs, and funding, BJS will decide to implement the proposed efforts to study the feasibility of enhancing BJS collection of mortality statistics during later project years.

    Two key issues for enhancing the DCRP are (a) obtaining death certificates for records involving medical causes of death; and (b) expanding the collection of death records to include deaths occurring while offenders are under community supervision, especially parole or other forms of post-prison supervision.

    While the information about medical causes of death currently submitted to the DCRP include the proximate cause of death, death certificates may also include more detailed information about underlying causes that could be used to improve the classification of causes of death. For this first enhancement opportunity, BJS seeks a proposal that outlines a plan for assessing the benefits and costs to the DCRP of obtaining death certificates. The proposal should address how the work (if conducted) would assess how the death certificates would enhance the DCRP and barriers associated with obtaining death certificates would have to be addressed were death certificates to become part of the DCRP records. The proposal should also address timing issues (death certificates may not be available until some time after a DCRP collection year ends), costs, utility of the death certificate for the DCRP (what information they would add, how that information would be incorporated into analysis of the data, and the types of reports that could be generated from them), modes of collection, and data confidentiality issues related to PII.

    The second enhancement falls in the area of expanding the scope of BJS collection of mortality statistics to cover additional areas of corrections, namely community corrections and especially parole or post-custody supervision. Deaths on parole exceed deaths in prisons and jails combined. According to BJS's report *Probation and Parole in the U.S., 2009* (available at www.bjs.gov/content/pub/pdf/ppus09.pdf), there were 5,099 deaths on parole during 2009. These data, drawn from BJS Annual Survey of Parole, provide counts (by state) of the number of deaths occurring while offenders were on parole; however, these data are not complete, and they do not provide detailed information on the causes of death or on the characteristics of decedents. BJS also obtains data on deaths on parole from its National Corrections Reporting Program (NCRP) collection. These data provide an indication that the method of release from parole was death. While they do not provide cause of death information, they provide information on the characteristics of parolees.

    The collection agent should propose a plan for a design study that would yield answers to the questions of how to best go about the collection mortality statistics about offenders on parole. The proposed plan should address how BJS current collection efforts related to parole could be used to inform an effort that aims to capture mortality data on parolees. The

proposed design effort should not avoid taking advantage of existing federal and state mortality data nor avoid methods based on linking records across systems to obtain the necessary mortality data.

To be sure, BJS is not looking for the collection agent to provide plans to implement the enhancements; rather, BJS asks the collection agent to submit proposal and plans for conducting design work that would, when completed, result in plans for implementing enhancements. Design plans are to be submitted by the end of project year 1.

Time Frames and Deliverables

Table 1 provides an outline of the key project tasks and deliverables by project month for the four years of this project. For planning purposes, applicants should review the key dates in preparing their proposals and ensure that their proposed task plans result in meeting the deliverable dates. Applicants should plan to meet deliverables for year 1 of the project and assume that the annual deliverables will be due during the same month in other project years. For years subsequent to year 1, additional deliverables (based on tasks identified above) will be specified when supplemental awards are made. Applications should address deliverables for project year 1.

Table 1. Project years for the DCRP 2012-2015, key project tasks, deliverables. (deliverables are in bold)

	Project year			
Project month	Year 1: Oct. 1, 2011-Sept. 30, 2012	Year 2: Oct. 1, 2012-Sept. 30, 2013	Year 3: Oct. 1, 2013-Sept. 30, 2014	Year 4: Oct. 1, 2014-Sept. 30, 2015
October	Project kickoff & 2012 collection plans (task 1)	2013 project kickoff & 2013 project plan (task 1)	2014 project kickoff & 2014 project plan (task 1)	2015 project kickoff & 2015 project plan (task 1)
November	2012 forms for review (task 1); Web enhancements (task 2); contact updates (task 1)	2013 forms for review (task 1); Web enhancements (task 2); contact updates (task 1)	2014 forms for review (task 1); Web enhancements (task 2); contact updates (task 1)	2015 forms for review (task 1); Web enhancements (task 2); contact updates (task 1)
December	Disseminate 2012 forms to the field (task 1); **conference presentation plan (task 9); 2011 jail frame to BJS (task 4)**	Disseminate 2013 forms to the field (task 1); **conference presentation plan (task 9); 2012 jail frame to BJS (task 4)**	Disseminate 2014 forms to the field (task 1); **conference presentation plan (task 9); 2013 jail frame to BJS (task 4)**	Disseminate 2015 forms to the field (task 1); **conference presentation plan (task 9); 2014 jail frame to BJS (task 4)**

Table 1. Project years for the DCRP 2012-2015, key project tasks, deliverables. (deliverables are in bold)

	Project year			
Project month	Year 1: Oct. 1, 2011-Sept. 30, 2012	Year 2: Oct. 1, 2012-Sept. 30, 2013	Year 3: Oct. 1, 2013-Sept. 30, 2014	Year 4: Oct. 1, 2014-Sept. 30, 2015
January	Initiate & conduct 2012 collection (tasks 1, 2, & 3)	Initiate & conduct 2013 collection tasks 1, 2, & 3)	Initiate & conduct 2014 collection (tasks 1, 2, & 3)	Initiate & conduct 2015 collection (tasks 1, 2, & 3)
February				
March				
April	**Post 60-day notice for the OMB clearance of the 2013-15 collection cycle (task 11)**			**Post 60-day notice for the OMB clearance of the 2016-18 collection cycle (task 11)**
May				
June	Complete 2011 collection (tasks 1, 2, & 3) **30-day notice for OMB clearance of the 2013-15 collection cycle posted (task 11)**	Complete 2012 collection (tasks 1, 2, & 3)	Complete 2013 collection (tasks 1, 2, & 3)	Complete 2014 collection (tasks 1, 2, & 3) **30-day notice for OMB clearance of the 2016-18 collection cycle posted (task 11)**
July	**Final 2011 dataset to BJS (task 8);** proposals for at least two special topic reports (task7)	**Final 2012 dataset to BJS (task 8)**	**Final 2013 dataset to BJS (task 8)**	**Final 2014 dataset to BJS (task 8)**
August	**2011 statistical tables (task 7); supporting statement for OMB clearance 2013-15 cycle posted (task 11)**	**2012 statistical tables (task 7)**	**2013 statistical tables (task 7)**	**2014 statistical tables (task 7); supporting statement for OMB clearance 2016-18 cycle posted (task 11)**

Table 1. Project years for the DCRP 2012-2015, key project tasks, deliverables. (deliverables are in bold)

	Project year			
Project month	Year 1: Oct. 1, 2011-Sept. 30, 2012	Year 2: Oct. 1, 2012-Sept. 30, 2013	Year 3: Oct. 1, 2013-Sept. 30, 2014	Year 4: Oct. 1, 2014-Sept. 30, 2015
September	**Archive 2011 data (task 8); annual DCRP improvement plan (task 10); design plans for enhancing DCRP (task 12)**	**Archive 2012 data (task 8); annual DCRP improvement plan (task 10)**	**Archive 2013 data (task 8); annual DCRP improvement plan (task 10)**	**Archive 2014 data (task 8); annual DCRP improvement plan (task 10)**

In addition to these tasks and deliverables, the data collection agent should also meet the requirements of the communication plan (regular status reports, meetings and calls, etc.) and respond to the requests for special analyses outlined in task 7. The deliverable dates for special project reports will be determined based upon BJS review of the proposals for special topic reports, and the work on the special topic reports will be conducted during the second and third project years. Finally, deliverable dates for implementing design enhancement plans (under task 13) will be determined based upon BJS priorities, the quality of the design plans, and funding availability.

Amount and Length of Awards

All awards are subject to the availability of appropriated funds and any modifications or additional requirements that may be imposed by law.

Funding for this project will be made available under a cooperative agreement. Applicants should submit a project budget covering the four years of the project and separate budgets for each project year. The budget for year 1 should include start-up costs associated with the collection as well as the cost of running the collection once it is established. The overall budget and the project budgets for years 2 through 4 should demonstrate applicants' abilities to implement efficiencies in design that contain costs in the later project years. Budgets for years 2 through 4 of the project may include reasonable increases for cost-of-living adjustments and changes in scope, where applicable.

BJS plans to fund the project in annual increments, contingent upon availability of funds and quality of performance.

Budget Information

Limitation on Use of Award Funds for Employee Compensation; Waiver: With respect to any award of more than $250,000 made under this solicitation, federal funds may not be used to pay total cash compensation (salary plus bonuses) to any employee of the award recipient at a rate that exceeds 110% of the maximum annual salary payable to a member of the Federal Government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year. (The 2011 salary table for SES employees is available at

www.opm.gov/oca/11tables/indexSES.asp.) Note: A recipient may compensate an employee at a higher rate, provided the amount in excess of this compensation limitation is paid with non-federal funds. (Any such additional compensation will not be considered matching funds where match requirements apply.)

The limitation on compensation rates allowable under an award may be waived on an individual basis at the discretion of the Director of BJS. An applicant that wishes to request a waiver must include a detailed justification in the budget narrative of its application. Unless the applicant submits a waiver request and justification with the application, the applicant should anticipate that OJP will request the applicant to adjust and resubmit its budget.

The justification should include the particular qualifications and expertise of the individual, the uniqueness of the service being provided, the individual's specific knowledge of the program or project being undertaken with award funds, and a statement explaining that the individual's salary is commensurate with the regular and customary rate for an individual with his/her qualifications and expertise, and for the work that is to be done.

Match Requirement

This solicitation does not require a match.

Performance Measures

To assist in fulfilling the Department's responsibilities under the Government Performance and Results Act (GPRA), Public Law 103-62, applicants that receive funding under this solicitation must provide data that measure the results of their work. Any award recipient will be required, post award, to provide the data requested in the "Data Grantee Provides" column so that OJP can calculate values for the "Performance Measures" column. Performance measures for this solicitation are as follows:

Objective	Performance Measure(s)	Data Grantee Provides
To establish a continuous collection of individual records of every death that occurs within or under the jurisdiction of state prisons and local jails nationwide.	Provide response rate.	Total number of respondents. Number of Department of Correction agencies that respond. Produce and maintain a comprehensive jail universe file; 100% response from state Department of Corrections; and 99% response rate from local jails, both for death records and for jurisdiction level data. Minimize item non-response on critical items, particularly in regards to "other/don't know" for cause of death.

	Percentage of deliverables that meet expectations.	Deliver death data sets for state prisons for 2012-2015. Number of deliverables. Number of deliverables that meet BJS's expectations for depth, breadth, scope, quality of study, and pertinence. Grantee provides dataset that achieves identified response rates; if these cannot be met due to circumstances beyond grantee control, the reasons are documented, and BJS is notified in advance of completion of the collection. Cause of death response rate. (Target: 95% or higher. A response rate lower than 95% threshold is unacceptable). Minimal number of missing data elements in the final file. (Target: No more than 2% missing data on death records (exclusive of missing due to skip pattern). Post validation follow-up rate (Target: Less than 3% of respondents require post-validation follow-up and error correction). Final data file (Target: within 9 months of close of reference year). Demonstration that data collection protocol and systems have obtained high-quality and comprehensive data with minimal missing or inconsistent data in file, minimal post validation follow-up and all target response rates have been achieved.
	Complete data collection on time.	Number of death data sets for state prisons complete on time.

Submission of performance measures data is not required for the application. Instead, applicants should discuss in their application their proposed methods for collecting data for performance measures. Please refer to the section "What an Application Should Include" (page 23) for additional information.

Note on project evaluations: Applicants that propose to use funds awarded through this solicitation to conduct project evaluations should be aware that certain project evaluations (such as systematic investigations designed to develop or contribute to generalizable knowledge) may

constitute "research" for purposes of applicable DOJ human subjects protections. However, project evaluations that are intended only to generate internal improvements to a program or service, or are conducted only to meet OJP's performance measure data reporting requirements likely do not constitute "research." Applicants should provide sufficient information for OJP to determine whether the particular project they propose would either intentionally or unintentionally collect and/or use information in such a way that it meets the DOJ regulatory definition of research.

Research, for the purposes of human subjects protections for OJP-funded programs, is defined as, "a systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalizable knowledge." 28 C.F.R. § 46.102(d). For additional information on determining whether a proposed activity would constitute research, see the decision tree to assist applicants on the "Research and the Protection of Human Subjects" section of the OJP "Other Requirements for OJP Applications" web page (www.ojp.gov/funding/other_requirements.htm). Applicants whose proposals may involve a research or statistical component also should review the "Confidentiality" section on that web page.

Notice of New Post-Award Reporting Requirements

Applicants should anticipate that all recipients (other than individuals) of awards of $25,000 or more under this solicitation, consistent with the Federal Funding Accountability and Transparency Act of 2006 (FFATA), will be required to report award information on any first-tier subawards totaling $25,000 or more, and, in certain cases, to report information on the names and total compensation of the five most highly compensated executives of the recipient and first-tier subrecipients. Each applicant entity must ensure that it has the necessary processes and systems in place to comply with the reporting requirements should it receive funding. Reports regarding subawards will be made through the FFATA Subaward Reporting System (FSRS), found at www.fsrs.gov.

Please note also that applicants should anticipate that no subaward of an award made under this solicitation may be made to a subrecipient (other than an individual) unless the potential subrecipient acquires and provides a Data Universal Numbering System (DUNS) number.

How to Apply

Applications will be submitted through Grants.gov. Grants.gov is a "one-stop storefront" that provides a unified process for all customers of federal awards to find funding opportunities and apply for funding. Complete instructions on how to register and submit an application can be found at www.Grants.gov. If the applicant experiences technical difficulties at any point during this process, please call the Grants.gov Customer Support Hotline at **800-518-4726**, 24 hours a day, 7 days a week, except federal holidays. Registering with Grants.gov is a one-time process; however, **processing delays may occur, and it can take up to several weeks** for first-time registrants to receive confirmation and a user password. OJP highly recommends that applicants start the registration process as early as possible to prevent delays in submitting an application package by the specified application deadline.

All applicants are required to complete the following steps:

1. **Acquire a Data Universal Numbering System (DUNS) number.** A DUNS number is required for Grants.gov registration. In general, the Office of Management and Budget requires that all applicants (other than individuals) for federal funds include a DUNS number in their applications for a new award or renewal of an existing award. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and keeping track of entities receiving federal funds. The identifier is used for tracking purposes and to validate address and point of contact information for federal assistance applicants, recipients, and subrecipients. The DUNS number will be used throughout the grant life cycle. Obtaining a DUNS number is a free, one-time activity. Obtain a DUNS number by calling Dun and Bradstreet at 866-705-5711 or by applying online at www.dnb.com. Individuals are exempt from this requirement.

2. **Acquire or renew registration with the Central Contractor Registration (CCR) database.** OJP requires that all applicants (other than individuals) for federal financial assistance maintain current registrations in the (CCR) database. An applicant must be registered in the CCR to successfully register in Grants.gov. The CCR database is the repository for standard information about federal financial assistance applicants, recipients, and subrecipients. Organizations that have previously submitted applications via Grants.gov are already registered with CCR, as it is a requirement for Grants.gov registration. Please note, however, that applicants must **update or renew their CCR registration annually** to maintain an active status. Information about CCR registration procedures can be accessed at www.ccr.gov.

3. **Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password**. Complete the AOR profile on Grants.gov and create a username and password. The applicant organization's DUNS number must be used to complete this step. For more information about the registration process, go to www.grants.gov/applicants/get_registered.jsp.

4. **Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to confirm the applicant organization's AOR. Please note that there can be more than one AOR for the organization.

5. **Search for the funding opportunity on Grants.gov.** Please use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance (CFDA) number for this solicitation is CFD#16.734, titled "Special Data Collections and Statistical Studies," and the funding opportunity number is 2011-BJS-2939.

6. **Submit an application consistent with this solicitation by following the directions in Grants.gov.** Within 24–48 hours after submitting the electronic application, the applicant should receive an e-mail validation message from Grants.gov. The validation message will state whether the application has been received and validated, or rejected, with an explanation. **Important:** Applicants are urged to submit applications **at least 72 hours prior** to the due date of the application to allow time to receive the validation message and to correct any problems that may have caused a rejection notification.

Note: Grants.gov will forward the application to OJP's Grants Management System (GMS). GMS does not accept executable file types as application attachments. These disallowed file types include, but are not limited to, the following extensions: ".com," ".bat," ".exe," ".vbs," ".cfg," ".dat," ".db," ".dbf," ".dll," ".ini," ".log," ".ora," ".sys," and ".zip."

Experiencing Unforeseen Grants.gov Technical Issues

If an applicant experiences unforeseen Grants.gov technical issues beyond the applicant's control that prevent submission of its application by the deadline, the applicant must contact BJS staff **within 24 hours after the deadline** and request approval to submit its application. At that time, BJS staff will instruct the applicant to submit specific information detailing the technical difficulties. The applicant must e-mail: a description of the technical difficulties, a timeline of submission efforts, the complete grant application, the applicant DUNS number, and Grants.gov Help Desk tracking number(s) received. After the program office reviews all of the information submitted, and contacts the Grants.gov Help Desk to validate the technical issues reported, OJP will contact the applicant to either approve or deny the request to submit a late application. If the technical issues reported cannot be validated, the application will be rejected as untimely.

To ensure a fair competition for limited discretionary funds, the following conditions are not valid reasons to permit late submissions: (1) failure to begin the registration process in sufficient time, (2) failure to follow Grants.gov instructions on how to register and apply as posted on its web site, (3) failure to follow all of the instructions in the OJP solicitation, and (4) technical issues experienced with the applicant's computer or information technology (IT) environment.

Notifications regarding known technical problems with Grants.gov, if any, are posted at the top of the OJP funding web page at www.ojp.gov/funding/solicitations.htm.

What an Application Should Include

This section describes what an application should include and sets out a number of elements. Applicants should anticipate that failure to submit an application that contains all of the specified elements may negatively affect the review of the application; and, should a decision be made to make an award, it may result in the inclusion of special conditions that preclude access to or use of award funds pending satisfaction of the conditions.

Moreover, applicants should anticipate that some application elements are so critical that applications unresponsive to the scope of the solicitation or that do not include a program narrative, budget detail worksheet including a budget narrative, key staff information, privacy certificate, and human subjects protection certificate of compliance will neither proceed to peer review nor receive further consideration.

OJP strongly recommends use of appropriately descriptive file names (e.g., "Program Narrative," "Budget Detail Worksheet and Budget Narrative," "Timelines," "Memoranda of Understanding," "Resumes") for all attachments. OJP recommends that resumes be included in a single file.

1. **Information to complete the Application for Federal Assistance (SF-424)**
   The SF-424 is a standard form required for use as a cover sheet for submission of pre-applications, applications, and related information. Grants.gov and GMS take information from the applicant's profile to populate the fields on this form. When selecting "type of applicant," if the applicant is a for-profit entity, please select "For-Profit Organization" or "Small Business" (as applicable).

2. **Program Narrative**

   This should describe the activities in the Scope of Work and address the evaluation criteria. The narrative should provide a detailed timeline and budget for project activities. The narrative should provide a detailed timeline and budget for project activities. The narrative should demonstrate the applicant's knowledge of survey methodology and capabilities to handle a national collection of correctional data. Experience in collecting both inmate-level and administrative correctional data from both jails and prison is required. If the program narrative fails to comply with these length-related restrictions, noncompliance may be considered in peer review and in final award decisions.

   The following sections should be included as part of the program narrative.

   a. Statement of the Problem

   b. Project Design and Implementation

   c. Capabilities and Competencies

   d. Plan for Collecting the Data Required for this Solicitation's Performance Measures

      Submission of performance measures data is not required for the application. Performance measures are included as an alert that successful applicants will be required to submit specific data to BJS as part of their reporting requirements. For the application, the applicant should indicate an understanding of these requirements and discuss how the applicant will gather the required data, should the applicant receive funding.

3. **Budget Detail Worksheet and Budget Narrative**

   a. **Budget Detail Worksheet**
      A sample Budget Detail Worksheet can be found at www.ojp.gov/funding/forms/budget_detail.pdf. If the budget is submitted in a different format, the budget categories listed in the sample budget worksheet should be included.

      For questions pertaining to budget and examples of allowable and unallowable costs, please see the OJP Financial Guide at www.ojp.gov/financialguide/index.htm.

   b. **Budget Narrative**
      The Budget Narrative should thoroughly and clearly describe every category of expense listed in the Budget Detail Worksheet. The narrative should be

mathematically sound and correspond with the information and figures provided in the Budget Detail Worksheet. The narrative should explain how all costs were estimated and calculated and how they are relevant to the completion of the proposed project. The narrative may include tables for clarification purposes but need not be in a spreadsheet format. As with the Budget Detail Worksheet, the Budget Narrative should be broken down by year.

4. **Indirect Cost Rate Agreement** (if applicable)
   Indirect costs are allowed only if the applicant has a federally approved indirect cost rate. (This requirement does not apply to units of local government.) A copy of the rate approval should be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant's cognizant federal agency, which will review all documentation and approve a rate for the applicant organization or, if the applicant's accounting system permits, costs may be allocated in the direct cost categories. If DOJ is the cognizant federal agency, obtain information needed to submit an indirect cost rate proposal at www.ojp.gov/financialguide/part3/part3chap17.htm.

5. **Tribal Authorizing Resolution (if applicable)**
   If an application is being submitted by either (1) a tribe or tribal organization or (2) a third party proposing to provide direct services or assistance to residents on tribal lands, then a current authorizing resolution of the governing body of the tribal entity or other enactment of the tribal council or comparable governing body authorizing the inclusion of the tribe or tribal organization and its membership should be included with the application. In those instances when an organization or consortium of tribes proposes to apply for a grant on behalf of a tribe or multiple specific tribes, then the application should include a resolution from all tribes that will be included as a part of the services/assistance provided under the grant. A consortium of tribes for which existing consortium bylaws allow action without support from all tribes in the consortium (i.e., without authorizing resolution or other enactment of each tribal governing body) may submit a copy of its consortium bylaws with the application in lieu of tribal resolutions.

6. **Additional Attachments**

   Key staff information
   This should include a staff loading chart, by task, showing the role and number of hours committed for proposed staff; identification of proposed key personnel and their qualifications for the significant functions in this project, along with concise descriptions of the duties each will perform under the cooperative agreement; and an identification by name of all key personnel with decision-making authority.

   Privacy Certification
   The Privacy Certificate is a funding recipient's certification of compliance with federal regulations requiring confidentiality of information identifiable to a private person which is collected, analyzed, or otherwise used in connection with an OJP-funded research or statistical activity. The funding recipient's Privacy Certificate includes a description of its policies and procedures to be followed to protect identifiable data. A model certificate is located at www.bjs.gov/content/pub/pdf/bjsmpc.pdf.

Human Subjects Protection Certification of Compliance
BJS requires the funding recipient to submit proper documentation to be used to determine that the research project meets the federal requirements for human subjects protections set forth in 28 CFR Part 46. A model certificate, describing the necessary information to be provided by the funding recipient, can be accessed at www.bjs.gov/content/hscr.cfm.

7. Other Standard Forms

Additional forms that may be required in connection with an award are available on OJP's funding page at www.ojp.gov/funding/forms.htm. For successful applicants, receipt of funds may be contingent upon submission of all necessary forms. Please note in particular the following forms.

a. Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements (required to be submitted in GMS prior to the receipt of any award funds)

b. Disclosure of Lobbying Activities (required for any applicant that expends any funds for lobbying activities; this form must be downloaded, completed, and then uploaded)

c. Accounting System and Financial Capability Questionnaire (required for any applicant other than an individual that is a non-governmental entity and that has not received any award from OJP within the past 3 years; this form must be downloaded, completed, and then uploaded)

d. Standard Assurances (required to be submitted in GMS prior to the receipt of any award funds)

Selection Criteria

Applications will be assessed for demonstrated ability to develop designs for conducting complex data collections involving sensitive issues and how the proposed approaches and methods will achieve the performance goals for this project.

Proposals will be evaluated on the basis of:

1. Problem Statement and Understanding of the Program (10%)
The applications will be assessed to determine proposers' understanding of the importance of the role of the DCRP in correctional statistics, the problems and challenges associated with collecting the data and reporting on mortality in correctional facilities, the limitations of the current program, and the issues or areas for growth and enhancement of the DCRP.

2. Project Design and Implementation (30%)

Applications will be assessed for the feasibility of proposed project designs to complete data collection within time frames while maintaining high response rates and high data quality. Assessments will consider innovation of proposed methods, including those related to enrolling

and retaining respondents, follow-up efforts associated with completing high quality data collection, provision of technical assistance as needed to ease respondent burden with the aim of reducing collection time, and efforts to reduce time between receipt and review of records. Applicants should demonstrate knowledge of applied survey research and social science research methods to the challenges of collecting DCRP data, knowledge of instrument design as it pertains to the DCRP collection, modes of data collection as applicable to DCRP, and efficiencies in collection, data coding, cleaning, and data verification. Applicants' project designs will be assessed for the effectiveness of their plans to maintain and update databases, produce standard analytic files, produce routine statistics, and public-use data files.

3. Capabilities/Competencies (35%)

Applications will be assessed for demonstrated capability and experience in collecting sensitive data (such as mortality data) from correctional authorities and maintaining a secure system for collection and retrieval of such data; demonstrated knowledge of medical causes of death and capacity to review records to identify inconsistencies between descriptions of events and reported causes of death; demonstrated knowledge of clinical data; demonstrated capacity to implement multiple modes of data collection, including web-based collection, dataset transfers (aka "data dumps") in various formats and to reprocess them into a common format; capacity to edit and clean data, to reconcile data files to known totals, and to provide datasets that represent the data as provided by respondents. In addition, applications will be assessed for demonstrated capability to impute data using a variety of methods for imputation, capacity of staff to conducting independent analysis of correctional mortality data and knowledge of substantive issues in correctional mortality. Also, applications will be assessed for demonstrated ability to maintain an appropriate computing environment, including capacity for data security, data collection via electronic methods including web-based collection, computer hardware and software for processing data files, and demonstrated capacities for producing public-use datasets and documentation. Finally, applications will be assessed for demonstrated capacity to provide up-to-date tracking of the data collection, regular reporting of progress, identification and communication of potential problems needing to be addressed, and problem-solving abilities.

4. Budget (15%)

Applications will be assessed for the cost-effectiveness of the proposed design, staffing at appropriate levels and plans to minimize or reduce costs throughout the entirety of the project. Applicants should demonstrate fiscal management, staff, and organizational capacity to provide sound internal controls for this project. Applications should include detailed staff resources and other costs by project tasks.

5. Impact/Outcomes and Evaluation (10%)

Demonstrated ability to develop designs for conducting complex data collections involving correctional and mortality data as well as personally identifiable information and other sensitive issues. Identify how the approach and methods in this project will achieve the performance goals for this project.

Review Process

OJP is committed to ensuring a fair and open process for awarding grants. The Bureau of Justice Statistics reviews the application to make sure that the information presented is reasonable, understandable, measurable, and achievable, as well as consistent with the solicitation.

Peer reviewers will review the applications submitted under this solicitation that meet basic minimum requirements. BJS may use either internal peer reviewers, external peer reviewers, or a combination to review the applications under this solicitation. An external peer reviewer is an expert in the field of the subject matter of a given solicitation who is NOT a current U.S. Department of Justice employee. An internal reviewer is a current U.S. Department of Justice employee who is well-versed or has expertise in the subject matter of this solicitation. Eligible applications will be evaluated, scored, and rated by a peer review panel. Peer reviewers' ratings and any resulting recommendations are advisory only. In addition to peer review ratings, considerations for award recommendations and decisions may include, but are not limited to, underserved populations, geographic diversity, strategic priorities, past performance, and available funding.

The Office of the Chief Financial Officer (OCFO), in consultation with Bureau of Justice Statistics conducts a financial review of applications for potential discretionary awards to evaluate the fiscal integrity and financial capability of applicants; examines proposed costs to determine if the Budget Detail Worksheet and Budget Narrative accurately explain project costs; and determines whether costs are reasonable, necessary, and allowable under applicable federal cost principles and agency regulations.

All final award decisions will be made by the Director of BJS who also may give consideration to factors including, but not limited to, underserved populations, geographic diversity, strategic priorities, past performance, and available funding when making awards.

Additional Requirements

Applicants selected for awards must agree to comply with additional legal requirements upon acceptance of an award. OJP strongly encourages applicants to review the information pertaining to these additional requirements prior to submitting an application. Additional information for each requirement can be found at www.ojp.gov/funding/other_requirements.htm.

- Civil Rights Compliance
- Faith-Based and Other Community Organizations
- Confidentiality
- Research and the Protection of Human Subjects
- Anti-Lobbying Act
- Financial and Government Audit Requirements

- National Environmental Policy Act (NEPA)
- DOJ Information Technology Standards (if applicable)
- Single Point of Contact Review
- Non-Supplanting of State or Local Funds
- Criminal Penalty for False Statements
- Compliance with Office of Justice Programs Financial Guide
- Suspension or Termination of Funding
- Nonprofit Organizations
- For-profit Organizations
- Government Performance and Results Act (GPRA)
- Rights in Intellectual Property
- Federal Funding Accountability and Transparency Act (FFATA) of 2006
- Awards in Excess of $5,000,000 – Federal Taxes Certification Requirement
- Active CCR Registration

Application Checklist

Deaths in Custody Reporting Program, 2012-2015

This application checklist has been created to assist in developing an application.

Eligibility Requirement*:* Applicants are limited to for-profit (commercial) organizations, nonprofit organizations, faith-based and community organizations, institutions of higher learning, and consortia with demonstrated organization and community-based experience working with American Indian and Alaska Native communities, including tribal for-profit (commercial) and nonprofit organizations, tribal colleges and universities, and tribal consortia. However, consistent with OJP fiscal requirements, for-profit organizations are not allowed to make a profit as a result of this award or to charge a management fee for the performance of this award.

_____ The federal amount requested is within the allowable limit(s) of $2,600,000 for the entire 4-year period.

What an Application Should Include:

_____ Application for Federal Assistance (SF-424) (see page 24)
_____ Program Narrative (see page 24)
_____ Budget Detail Worksheet (see page 24)
_____ Budget Narrative (see page 24)
_____ Indirect Cost Rate Agreement (if applicable) (see page 25)
_____ Tribal Authorizing Resolution, (if applicable) (see page 25)
_____ Additional Attachments (see page 25)
- ____Key Staff Information
- ____Privacy Certificate
- ____Human Subjects Protection Certification of Compliance

_____ Other Standard Forms as applicable (see page 26), including:
- _____ Disclosure of Lobbying Activities (if applicable)
- _____ Accounting System and Financial Capability Questionnaire (if applicable)